

South Carolina Medical Malpractice Patients' Compensation Fund

Functional Analysis and Records Retention Schedule

March 2007

Table of Contents

Sources of information.....	1-1
Introduction.....	1-2
Functional and Organizational Analysis of the South Carolina Medical Malpractice Patients’ Compensation Fund	
Historical Context	2-1
Agency Organization	2-2
Agency Mission and Functions/Programs	2-2
Analysis of Record-keeping System and Functional Appraisal of the South Carolina Medical Malpractice Patients’ Compensation Fund	
Agency Record-keeping System.....	3-1
Functional Appraisal	3-1
South Carolina Medical Malpractice Patient’s Compensation Fund	
Records Retention Schedule	4-1
Explanation of Records Requirements.....	4-1
Records Retention and Disposition Requirements	4-2
Medical Malpractice Insurance Records.....	4-3
Internal Operation Records	4-5
Administrative Records	4-5
Financial Services/Accounting Records	4-15
Financial Services/Payroll Records	4-26
Human Resources Records	4-30
Information Systems and Technology Records	4-35
Requirements and Recommendations for Implementing the	
Records Retention Schedule	4-40
Official Approval	4-41
Appendix – South Carolina Medical Malpractice Patients’ Compensation Fund Records in the Custody of the South Carolina Department of Archives and History.....	
	5-1

Sources of Information

Staff of the Medical Malpractice Patients' Compensation Fund

Medical Malpractice Patients' Compensation Fund Accountability Reports

Holdings of the South Carolina Department of Archives and History

Medical Malpractice Patients' Compensation Fund website:

<http://www.scpf.com>

Legislative Audit Council Report Summaries

South Carolina State Library

South Carolina Legislature Online:

<http://www.scstatehouse.net>

Introduction

This document was prepared for the South Carolina Medical Malpractice Patients' Compensation Fund (PCF) by staff of the South Carolina Department of Archives and History (SCDAH). It contains a functional analysis of PCF programs and activities and a new and updated records retention schedule.

With grant funding from the National Historical Publications and Records Commission of the National Archives and Records Administration, the SCDAH launched a pilot project with PCF to test new approaches to streamline records management processes for computer as well as paper-based records systems. PCF is the third agency to participate in this project. This document represents one of the major outcomes of this project. It contains a new and updated records retention schedule as well as recommendations for establishing and maintaining a quality record-keeping program in the agency.

This records retention schedule supersedes all previous versions and specifies how long to keep various agency records, regardless of format or storage media. It identifies those agency records having permanent value and authorizes the legal disposal of non-permanent records at the end of specified time periods. Upon approval and signing by the executive officer or appointed records officer of PCF and the Director of the SCDAH or his designee, this document constitutes the official records retention schedule for the South Carolina Medical Malpractice Patients' Compensation Fund.

In addition to the lists of records with retention and disposition requirements, this document also contains other information useful to the agency. Included is information on the historical context, present agency organization, descriptions of agency programs and functions, record-keeping system analysis, and a description of the functional appraisal model used to develop the records retention schedule.

Other project components include the *Electronic Records Management Guidelines* (<http://www.state.sc.us/scdah/erg/erg.htm>) and the *Trustworthy Information Systems Handbook* (<http://www.state.sc.us/scdah/erg/tis.htm>). These documents are designed to assist agency staff and are available on the SCDAH website.

The SCDAH is grateful for the cooperation and patience of the PCF staff that we interviewed and worked with during this project.

Functional and Organizational Analysis of the South Carolina Medical Malpractice Patients' Compensation Fund

Historical Context

The South Carolina Medical Malpractice Patients' Compensation Fund (PCF) was created by S.C. Statute 1976 (59) 1773 for the specific purpose of providing medical malpractice coverage in excess of South Carolina healthcare provider's basic or primary insurance coverage. The first appointed Board of Governors included Lee F. Brinkley, Edward Buckley, Dr. Vivian Davenport, Dace W. Jones, Jr., Dr. Donald G Kilgore, Jr., Dr. William D. McDowell, George Rentz, Dr. H. Allen Schifferli, Hugo Spitz, Henry G. Turner, Donna Weatherholtz, and Dr. C. Tucker Weston.

The PCF has experienced tremendous growth over the years, starting with less than a thousand members at the end of its first year of operation and increasing to roughly 8500 by 2006. The PCF provides insurance for 80% of South Carolina's healthcare providers.

Significant Events in the PCF History:

- In the 1987-1988 General Assembly, Act 155 was passed to allow pharmacists in the PCF membership and to allow that rulings and actions by the PCF could be appealed to the SC Insurance Commission.
- In the 1989-1990 General Assembly, Act 584 was passed to allow that the PCF could be used to pay general liability as well as medical malpractice claims, settlements, and judgments.
- In the 1997-1998 General Assembly, Act 19 was passed to allow the removal of the involvement of the Director of the South Carolina Department of Insurance from the PCF and to require the Board of Governors to elect a Chairman and necessary officers.
- In the 1999-2000 General Assembly, Act 313 was passed to require the Board of Governors to develop a plan of operation subject to the approval of the Director of the Department of Insurance, to require that the members of the PCF would be responsible for any deficit of the Fund, and that the state would bear no financial responsibilities.
- In 2000 the General Assembly requested that the SC Legislative Audit Council perform an audit on the PCF to investigate issues related to solvency and to determine the state's liability in case of default.
- In the 2003-2004 General Assembly, Act 73 was passed to increase the threshold for payments of excess medical malpractice judgments.
- In a 2004 follow-up audit, the SC Legislative Audit Council found that the PCF had made significant changes to its written policies and structures and that the PCF was now largely in compliance with the recommendations of the 2000 audit.

- In the 2005-2006 General Assembly, Act 32 was passed to allow that no person could be employed by both the Board of the Joint Underwriting Association and the Board of Governors of the PCF, and that no person could be employed by either organization for up to a year after ceasing to serve with either entity.

Agency Organization

The Medical Malpractice Patients' Compensation Fund consists of five full time employees and a 13 member Board of Governors to manage and operate the fund and to appoint the Executive Director. The Board of Governors is composed of three physicians, two dentists, two hospital representatives, two insurance representatives, two attorneys, and two representatives of the general public. The Governor appoints the board and appointed members serve a term of six years.

Agency Mission and Functions/Programs

The mission of the PCF is to provide malpractice insurance for its membership of physicians, dentists, pharmacists, and hospitals in South Carolina. The PCF is self-funded by fees and assessments of its members. Rate increases and assessments are based on actuarial recommendations and occasional fund deficits. The PCF requires a minimum limit of \$200,000 per claim and \$600,000 annual aggregate of all claims under the member's basic coverage (current as of 2006).

The Board of Governors continues to engage in strategic planning throughout the fiscal year, which includes ongoing revisions to the Plan of Operation, Underwriting Manual of Rules and Rates, and Claims Handling Procedures.

The PCF provides customer services to its members through enrollment of new members, renewal of current members, collection of fees and assessments, payment of claims and membership inquiries. It also provides credentialing information to hospitals and managed care organizations.

Analysis of Record-keeping System and Functional Appraisal of the South Carolina Medical Malpractice Patients' Compensation Fund

Agency Record-keeping System

The Medical Malpractice Patients' Compensation Fund maintains records in both paper and electronic formats. The Member Tracking System records information on membership and claims. This software application was specifically developed for the PCF on a Windows-based server using Visual Studio Basic Interactive with an Access database. Data from this application documents nearly the complete history of the agency. This data was previously stored by an outside vendor but recently was moved to an in-house server.

The agency's website (<http://www.scpf.com>) provides general information about the agency including its functions, news related to the agency, copies of official forms, and answers to common questions. The PCF is also planning a more interactive site that will include on-line payment, renewal, and credentialing options.

Functional Appraisal

South Carolina Department of Archives and History staff used a functional appraisal model to develop this records retention schedule for the Medical Malpractice Patients' Compensation Fund. This model involved a top-down approach which included identifying and analyzing the functions and activities of the agency to gain an understanding of its operating environment and to provide a framework for classifying agency records. The next step in the process involved applying several appraisal tools to determine which agency functions and activities met the criteria for historical significance. From these significant functions and activities, records were selected and designated for permanent retention. These permanent (archival) records make up one small category of records created and/or maintained by the PCF. All other agency records are categorized as temporary.

Temporary records should be held for what is considered their active life and then disposed of once all fiscal, legal, and administrative requirements have been met. Permanent (archival) records must be protected and preserved for future access either in the agency or transferred to the South Carolina Department of Archives and History for permanent retention. The records retention schedule lists agency records first by function/program and then by permanent or temporary categories within each function/program.

South Carolina Medical Malpractice Patients' Compensation Fund Records Retention Schedule

This records retention schedule is issued by the South Carolina Department of Archives and History (SCDAH) under the authority of the South Carolina Public Records Act. (*Code of Laws of South Carolina, 1976*, Sections 30-1-10 through 30-1-140, as amended) It was prepared by the SCDAH's Archives and Records Management Division. The schedule lists records created and maintained by the Medical Malpractice Patients' Compensation Fund in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the PCF to implement records destruction.

South Carolina law requires public officials to protect records from "deterioration, mutilation, theft, loss, or destruction" so that publicly accessible records are available for public inspection and so that all records may be transferred to an official's successor in office. State law also requires agencies to cooperate with the SCDAH in establishing records retention schedules.

Explanation of Records Requirements

- This records retention schedule supersedes any previous records retention schedules governing the retention and disposition of the Medical Malpractice Patients' Compensation Fund records. Copies of superseded schedules are no longer valid and should be destroyed.
- This records retention schedule establishes minimum retention and disposition instructions for official records listed below regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As with records in any other formats, the retention periods for e-mail records are determined by the value of their content and not by format or method of recording.
- Certain records and record-related materials need not be retained as records under the disposition requirements of this records retention schedule. Such materials include: (1) convenience or duplicate copies that do not require official action; (2) catalogs, trade journals, and other publications received that do not require official action and do not document agency activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages, drafts of ordinary documents not needed for their evidential value, copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about non work-related activities. These kinds of materials may be disposed of when no longer needed for reference and without documentation of destruction.

Records Retention and Disposition Requirements

This section of the records retention schedule contains a list of agency records with descriptions, retention periods, and dispositions. The list is arranged according to the functions of the Medical Malpractice Patients' Compensation Fund. It includes the series of records created and/or maintained by the department as a result of activities and transactions performed in carrying out those functions. Within each section, records to be permanently retained are listed first, followed by temporary records. The agency may submit requests to revise, add, or delete specific records disposition requirements to the SCDAH at any time. Contact the Archives and Records Management Division to obtain assistance.

Medical Malpractice Patients' Compensation Fund Record Schedule

Medical Malpractice Insurance

358-0001 **Index to National Practitioner Data Bank** D

Used to access the electronic information on practitioners in the National Practitioner Data Bank. From the Medical Malpractice Payment Report, practitioners' names and identification numbers are extracted. This information is entered into an electronic index which is maintained by the agency for ready reference into the National Practitioner Data Bank.

Retention:

Agency: Until no longer needed for reference, destroy.

358-0002 **National Practitioner Data Bank Medical Malpractice
Payment Report** D

Used to document medical malpractice payments. Information includes reporting entity information, practitioner personal and professional data, payment information, certification, payment report submitted by the Patients' Compensation Fund, and report verification document.

Retention:

Agency: 3 years, destroy.

358-0003 **Billing Reports** D

Used to document first and second billing notices for membership renewal. Information includes member identification number, dates of coverage, and membership fees due.

Retention:

Agency: 3 years, destroy.

358-0004 **Refund Report** D

Used to document refunds issued to Patients' Compensation Fund members. Information includes the member name, member identification number, and amount of refund.

Retention:

Agency: 3 years, destroy.

Medical Malpractice Patients' Compensation Fund Record Schedule

Medical Malpractice Insurance

358-0005 **Member Files (Active and Inactive)** D

Used to document the professional history of each client member. Information includes Certificate of Membership, underwriting information, correspondence, coverage periods, limits, carrier information, Certificate of Insurance, copies of vouchers, miscellaneous bills, and personal information.

Retention:

Agency: 10 years after becoming inactive.

State Records Center: 10 years, destroy

358-0006 **Member Files (Deceased)** D

Used to document the professional history of the deceased client member while they were either active or inactive. This includes all retained data during this time.

Retention:

Agency: 10 years after death.

State Records Center: 10 years, destroy.

358-0007 **Claims Files** D

Created by agency staff to document patients' filings for reimbursement against fund members' insurance policies. Information includes summons and complaint, affidavits, documentation from primary carrier insurance claims representatives, correspondence, memoranda, and related information.

Retention:

Agency: Until no longer needed for reference, destroy.

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0050 **Administrative Correspondence Files (Executive Levels)** A

Correspondence is related to the administration of an agency or division. Communications concern coordination of programs, agency policy, and responsibilities of a non-routine nature that impact on the agency or its divisions. These letters are usually found at the agency director, deputy director and division director levels.

Retention:

Agency: 3 years after fiscal year

State Archives: Selection of needed documentation; PERMANENT

358-0051 **Administrative Files (Executive Levels)** A

Document actions of an agency director, deputy director and division directors. Information includes memoranda and reports concerning agency policy, organizational and program development records, non-routine fiscal data, personnel information and related notes. These records reflect administration of policy, coordination of agency functions, and management of program activity.

Retention:

Agency: 3 years after fiscal year

State Archives: Selection of needed documentation; PERMANENT

358-0052 **Administrative Regulation Background Files** A

Used for the general operation of agency programs. Information includes regulations; instructions; other issuances that establish methods to administer an agency's mission, functions, and responsibilities; and other related information.

Retention:

Agency: Until superseded

State Archives: Selection of needed documentation; PERMANENT

358-0053 **Agency Annual Reports** A

Published report of agency activities made annually to the General Assembly. Information includes financial summaries, objectives, goals, and other data concerning the agency during the fiscal year. Most annual reports contain an organizational chart, along with brief narratives, and statistical information concerning each major section and division of the agency.

Retention:

Agency: Until no longer needed for reference

State Archives: PERMANENT

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0054 **Agency Publications** A

Printed material published by state agencies for internal and external distribution. This series includes directories, manuals, research reports, surveys, and other agency publications.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation. PERMANENT

358-0055 **Agency Organizational Charts** A

Reflect the organizational structure of the agency and its divisions. Information includes a diagram which shows a systematic and symbolic arrangement of an agency's divisions and program areas by name and function.

Retention:

Agency: Until no longer needed for reference

State Archives: Selection of needed documentation; PERMANENT

358-0056 **Agency Website Snapshot** A

A snapshot is a point-in-time capture of the content, presentation, and functionality of the Department's website. The intent of the snapshot is to capture web published information on agency programs including images, documents, text, formatting code, ect. but not pages external to the site. The snapshot will create and maintain a digital record that is as full and complete as possible for a given point in time. A snapshot is not a back-up copy; rather, it is a digital record that will be readable on other platforms. Snapshots shall be taken annually and whenever a major change is made to the website.

Retention:

State Archives: PERMANENT

358-0057 **Internal Management Policy and Procedure Files** A

Policies, procedural directives and manuals developed by the agency to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

Retention:

Agency: Until superseded, updated, or no longer needed for reference

State Archives: Selection of needed documentation; PERMANENT

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0058 **Legislative Reference File** A

Records pertaining to bills, prospective legislation and laws. Information includes bill and supporting material concerning proposed legislation such as newspaper clippings, reports, and correspondence. The series also includes copies of approved legislation.

Retention:

Agency: Until no longer needed for reference

State Archives: Selection of needed documentation; PERMANENT

358-0059 **Litigation Case Files** A

Document judicial proceedings which involve the agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information. Portions of this series are scheduled for permanent retention by the State Archives through the Attorney General's office. Court records in this series are also available in the court having jurisdiction over these cases.

Retention:

Agency: 6 years after the case is closed

State Archives: Selection of needed documentation; PERMANENT

358-0060 **Meeting Minutes (Boards and Commissions of State Agencies)** A

Records of official proceedings of state agency governing bodies. Information includes agenda, date, place, list of attendees, and a summary of discussion and decisions.

Retention:

Agency: 3 years

State Archives: PERMANENT

358-0062 **Attachments to Meeting Minutes (Boards and Commissions of State Agencies)** A

Used to amplify official minutes; may include all informational attachments such as reports, surveys, proposals, studies, and charts distributed to members for discussion, and for use in making decisions on agency policy, planning, and administrative matters.

Retention:

Agency: Until no longer needed for reference

State Archives: PERMANENT

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0063 **Permanent Improvement Files** A

Files concern construction of and permanent improvements to the agency's facilities. Information includes project proposal, capital improvement requests, authorizations to execute construction contracts, cost estimates, construction contracts, related memoranda, correspondence, blueprints, and specifications. Records created after 1980 may be destroyed after the project is complete and no longer needed for reference.

Retention:

Agency: Pre-1980: Until completion of construction project and no longer needed for reference.
1980-on: Until completion of construction project and no longer needed for reference

State Archives: Pre-1980: Selection of needed documentation; PERMANENT

358-0064 **Photographs** A

Photographic proofs and negatives of agency activities. Photographs may include identification according to time, place, and agency activity.

Retention:

Agency: Until no longer needed for reference

State Archives: Selection of needed documentation; PERMANENT

358-0065 **Public Relations File** A

Information concerning agency publicity. Included are press releases, biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation. PERMANENT

358-0066 **Speeches (Executive Levels)** A

Drafts and final copies of speeches given by an agency director, deputy director and division directors. Speeches may concern policy issues, strategic planning, legislation concerning the agency, and other related topics.

Retention:

Agency: Until no longer needed for reference

State Archives: Selection of needed documentation; PERMANENT

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0067 **Surveys/Maps** A

Developed by an agency to carry out its mission and function. Information concerns roads, boundaries, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

Retention:

Agency: Until no longer needed for reference

State Archives: Selection of needed documentation; PERMANENT

358-0080 **Meeting Minutes (Executive Levels)** A

Used to document the meetings of an agency's executive staff which includes the director, the deputy director, and the division directors. Information includes agenda, place, date, list of attendees, and a summary of discussions and decisions. Also included are informational attachments which are closely related to the meeting minutes.

Retention:

Agency: 3 years

State Archives: PERMANENT

358-0061 **Meeting Minutes (Non-Executive Levels)** D

Used to document the meetings of agency staff below the agency director, deputy director, and the division director levels. Meetings may also include non-agency attendees. Information includes agenda, location, date, list of attendees, attachments, and a summary of discussions and decisions.

Retention:

Agency: 2 years; destroy

358-0068 **Administrative Reference Files (Non-Executive Levels)** D

Routine office management files retained below the agency director, deputy director and division director levels. Included are memoranda, reports, printed matter and other reference materials. Topics include: job activities, program material, general office information, professional associations, charitable affairs, parking for staff, disaster preparedness, and other related topics.

Retention:

Agency: Until no longer needed for reference; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0069 **Annual Accountability Reports** D

Used to determine whether an agency is effectively achieving its legislative mission and program objectives. This record series is prepared by all state agencies and submitted to the Budget and Control Board for distribution to the General Assembly and the Governor's Office. Information includes an agency's mission statement, program objectives, work performance measurement data, analysis of program cost allocations, and other related information. The record copy of this series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Budget.

Retention:

Agency: Until no longer needed for reference; destroy

358-0070 **Attorney General Opinions** D

Official opinions issued by the Attorney General or his assistants. These are legal interpretations written upon request of an agency to guide in enforcing and obeying the law. Also included is related correspondence. The record copy of this series is scheduled for permanent retention by the State Archives through the Attorney General's Office.

Retention:

Agency: Until superseded and no longer needed for reference; destroy

358-0071 **Calendars** D

Used to keep track of work-related events and commitments of agency staff members. Information includes daily appointment books, calendars, and other records indicating dates for meetings and work activities.

Retention:

Agency: Until no longer needed for reference; destroy

358-0072 **Computer Utilization Summaries** D

Generated to determine staff use of an agency's computer systems. Information details the total time the system is used, amount of individual staff time the system is used, and total time work stations are used (including job queue and printers).

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0073 **Conferences, Workshops, And Seminars (Agency Sponsored)** D

Files concerning each conference, workshop or seminar sponsored by the agency. Information includes registration material, letters, brochures, lists of restaurants, hotel listings, and other related information.

Retention:

Agency: Until no longer needed for reference; destroy

358-0074 **Contracts** D

Used to document the contractual relationship between agencies and service providers. Information includes the contract with description of the services to be provided, dates of the contract, signatures, and correspondence.

Retention:

Agency: 3 years after cancellation or expiration of the contract; destroy

358-0075 **Deeds and Leases to State Property Files** D

Document deeds and leases to real property owned or used by the state. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence. The record copies of deeds and leases are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of General Services.

Retention:

Agency: Until property is sold, disposed of, or relinquished, and is no longer needed for reference; destroy

358-0076 **Disaster/Emergency Preparedness and Recovery Plans** D

Document the plans for protection and reestablishment of agency services and equipment in case of disaster. Information includes plan, procedures, checklists, and emergency phone numbers, and addresses.

Retention:

Agency: Until superseded by revised plan; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0077 **General correspondence (Non-Executive Levels)** D

Routine correspondence created or retained below the levels of agency director, deputy director and division director. Letters and memoranda reflect communications regarding program procedures, general work activities, and responses to information requests.

Retention:

Agency: Until no longer needed for reference; destroy

358-0078 **Information Technology Plans** D

Prepared by state agencies outlining their anticipated needs for information technology. Plans reflect information requirements, equipment needs, service specifications, cost, and technology purchase requests. The record copy of this series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Research and Statistics.

Retention:

Agency: 3 years; destroy

358-0079 **Mailing Lists** D

Used to record the names and addresses of clients and other persons with whom the agency has regular contact. Information includes mailing lists, and registers concerning employees, officials, and constituents with whom agency staff communicate regularly.

Retention:

Agency: Until superseded; destroy

358-0081 **Motor Vehicle Insurance** D

Record of motor vehicle insurance retained by an agency. It includes insurance policies which list effective policy dates, amounts of coverage, number of vehicles covered, and rate. Also included are notes, correspondence and other related information.

Retention:

Agency: 1 year and until renewal of insurance policy; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0082 **Motor Vehicle Operations and Maintenance Files** D

Files of motor vehicle operations and maintenance. Included are requests for state vehicles, vehicles inspection/use reports, motor vehicle accident reports, motor vehicle inventories, and other related information.

Retention:

Agency: 3 years; destroy

358-0083 **Property Inventories** D

Itemized lists of fixed assets (except land and buildings) completed by state agencies. Information includes inventories of equipment, furniture, and other similar property.

Retention:

Agency: 3 years; destroy

358-0084 **Records Management Files** D

Files related to an agency's records management program. Included are records retention schedules, guidelines, information concerning records inventory and scheduling, records transfers, microfilm applications, disposal notices, and other related data.

Retention:

Agency: Until superseded and no longer needed for reference; destroy

358-0085 **Speeches (Non-Executive Levels)** D

Drafts and final copies of speeches given by employees below the agency director, deputy director and division directors' level. Speeches concern program procedure, work activities, and related topics.

Retention:

Agency: Until no longer needed for reference; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Administrative

358-0086 **Telephone Logs** D

Listing of telephone calls made by agency personnel for a particular time period. Logs reflect date, time, caller, recipient of call, and nature of business discussed.

Retention:

Agency: 3 years and until reconciliation of telephone billing; destroy

358-0087 **Work Reports** D

Reports of work activities performed by personnel carrying out regular or special duties. Series does not include published project reports or reports to the Governor or General Assembly. These documents reflect dates, person responsible for report, and a running account of activities performed.

Retention:

Agency: 2 years or until summarized or superseded; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0100 **General & Subsidiary Ledgers** A

One or more series of computer or non-computer generated financial ledgers providing final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all agency funds and accounts, including receipts and expenditures from all revenue sources, both public and private. Electronic records include annual accounting code data and computer system documentation needed to access accounting information. Since fiscal year 1981, accounting transactions have been captured in the Statewide Accounting and Reporting Systems of the Comptroller General's Office. Selected records generated by this centralized accounting and reporting system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office. Ledgers created in or after fiscal year 1980-81: destroy.

Retention:

Agency: Ledgers created after FY 1980/1981: 3 years; destroy

State Archives: Ledgers created in or before FY 1980/1981: PERMANENT

358-0101 **Accounts Receivable Journal** D

Used to keep track of receipts and basic revenue for all agency accounts. Information includes: account number, batch date, invoice number, date, control number type, payment date, invoice, debits, credits, and other related data.

Retention:

Agency: 3 years; destroy

358-0102 **Appropriation Transfer** D

Authorization for the transfer of administrative and/or program funds between different programs, funds, subfunds, and objects of expenditure within the agency. Information includes agency number, agency batch number, object code, credited to, debited from, reason for transfer, requested by, date, and signature of State Budget Analyst. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

Financial Services/Accounting

Document the deposit of funds into agency bank accounts. Included in the series are bank deposit forms, deposit slips, or receipts. Information may also include State Treasurer's Receipt and letter of credit for recording federal deposits.

Agency: 3 years; destroy

Reflect various phases in the development and approval of the state's annual budget. Information includes the South Carolina State Budget as submitted by the State Budget and Control Board, General Appropriations Bill(s), Analysis of Change documents, appropriation summaries, Appropriations Act, and other related information. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently by the State Archives.

Agency: 3 years; destroy

Used to prepare the agency's annual budget requests and budget detail. Information includes a copy of the agency's proposed budget, allocation schedules, Budget and Control Board recommendation forms, general budget memoranda, back-up material and supporting documents for Budget and Control Board agenda items and legislative committees appropriation items. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently in the State Archives.

Agency: 3 years; destroy.

Cash receipts received by an agency from customers for the sale of services and commodities. Also included is the Cash Receipts Journal. Cash receipts reflect amount of sale, description of services or items sold, amount of money received, and sale date. The Cash Receipts Journal reflects date, sale description, purchase authorization number, and voucher/receipt number.

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0107 **Chart of Accounts** D

Records of accounts received from the Comptroller General's Office which lists line item accounts contained in the Annual Appropriations Act. Also included is the Preliminary Chart of Accounts which lists account titles, program number, mini-code, subfund, object code, and amount of final appropriation. The record copy of this series is retained in the Comptroller General's Office, as scheduled.

Retention:

Agency: 3 years; destroy

358-0108 **Contingency Check Register** D

Agencies' list of all checks that are payable for travel and vendor expenses. Information includes payee, department number, account number, transaction code, warrant number, warrant amount, check number, and check amount.

Retention:

Agency: 3 years; destroy

358-0109 **Detail Budget** D

Prepared by an agency during the first phase of the budget process to reflect all revisions necessary to balance budget allocations, as submitted to the Budget Division of the State Budget and Control Board. Information includes program level, budget code, detail of expenditure, fiscal year, actual total funds, operating budget, estimated total funds, appropriated general funds, estimated federal funds, estimated earmarked funds, and estimated restricted funds. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently in the State Archives.

Retention:

Agency: 3 years; destroy

358-0110 **Disbursement Journal** D

A listing of disbursement vouchers prepared by the agency to authorize payment of expenses incurred. Information includes voucher number, date, amount of disbursement, and to whom payment was made.

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0111 **Disbursement Vouchers** D

Official copies of vouchers prepared by an agency and sent to the Comptroller General's Office to request payment for agency expenditures. Information includes disbursement voucher number, date, description of transaction, amount, and total. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

358-0112 **Emergency Procurement File** D

Used to document the purchase of authorized emergency procurements. This file contains a Justification for Emergency Procurement, a Record of Emergency Contracts, and quarterly reports of procurement actions. Information includes type of emergency procurement, name of vendor, the basis for the emergency determination, date, the reason no other vendor is suitable, name of governmental body, and authorized signature. Also included are purchase order number, date, item description, commodity code and dollar amount, each contractor's name, the amount and type of each contract, and a listing of supplies, services, or construction procured under each contract. Copies of quarterly reports concerning procurement actions are scheduled to be retained for five years by the State Budget and Control Board's chief procurement officers.

Retention:

Agency: 3 years; destroy

358-0113 **External Procedure Manuals** D

Guidelines used by state agencies to report financial transactions. Examples include Comptroller General's Generally Accepted Accounting Principles (GAAP) Closing Procedures Manual, Policies and Procedures of the State Comptroller General; Budget and Control Board's Budget Request Manual, Detail Budget Preparation Manual, State Procurement/Information Technology State Terms Contract Manual, and Information Technology Contact Catalogue.

Retention:

Agency: Until updated, superseded, or no longer needed for reference; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0114 **Generally Accepted Accounting Principles (GAAP)
Closing Packages** D

Closing packages consist of GAAP forms submitted annually to the Comptroller General's Office to indicate year end adjustments for GAAP reporting. Information includes annual financial statement, the agency's name, due dates, purpose or objective, area of accounting data, any action to be taken, description, and dollar amount. Selected portions of this series are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

358-0115 **Generally Accepted Accounting Principles (GAAP)
Reporting System Working Papers** D

Working papers consist of notes, working drafts and copies of GAAP forms used to support all entries in an agency's closing package for GAAP reporting. Information includes date, computations, analysis, justifications, recommended adjustments for GAAP reporting, and other related information.

Retention:

Agency: 3 years; destroy

358-0116 **Information Technology (IT) Plans and Requests Files** D

Copies of IT Plans submitted by state agencies and institutions outlining their anticipated information technology needs, and requests from state agencies and institutions concerning information technology items not covered in the Annual IT Plan. The plans are submitted on an annual basis and when approved, provide agencies and institutions with authority to request the procurement of information technology systems. The present plan includes executive summary, application, technical (equipment) descriptions and training requirements, organizational, budget summary and other related information. The requests include the technology request form and purchase requisition for the item(s). Also included in this series are related cover letters, comments by designated parties, and approval or disapproval decisions. Selected portions of this series are scheduled to be retained permanently in the State Archives through the State Budget and Control Board, Division of Research and Statistical Services.

Retention:

Agency: Until no longer needed for reference; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0117	Insurance Policies Files	D
	Document agency insurance policies and related correspondence and memoranda. Policies concern group hospital insurance, automobile liability, fire and extended coverage, and tort liability. Contents include endorsements from the Insurance Reserve Fund, renewals, changes, copies of policies, correspondence, information from insurance seminars, and a listing of office contents and their values.	
Retention:		
Agency:	Until no longer needed for reference; destroy	
358-0118	Interdepartmental Transfer (IDT) Credit Invoices	D
	Prepared by an agency to bill another state agency for services rendered. Also used to record transfers of funds between state government agencies. Information includes name of agency, mailing address, city, code number, month, year, date, itemization of payments, adjustments, total, invoice number, fiscal year, from department credit to division, warrant numbers and date, organizational number, account number, account title, fiscal year, transaction code, and amount.	
Retention:		
Agency:	3 years; destroy	
358-0119	Interdepartmental Transfer (IDT) Vouchers	D
	Prepared and used by an agency to request transfer of funds to another agency to pay for services rendered. Information includes voucher number, date, payee, charged to, warrant number and date, authorization, official title of person authorizing payment, organizational number, fiscal year, account number, account with, transaction code, amount charged, and total amount charged. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.	
Retention:		
Agency:	3 years; destroy	
358-0120	Journal Vouchers	D
	Used to make any adjustments or corrections to accounting records for the agency. Information includes month, day, year, journal entry number, account number, department, fund, class, debit, credit, remarks, total, requested by, and authorized signature. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.	
Retention:		
Agency:	3 years; destroy	

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0121 Mail Receipts D

Document registered and certified mail receipts received by an agency. Registered mail receipts reflect the following information: number of articles, addressee address, receipt date, values, surcharges, and total number of pieces listed and received. Certified mail receipts indicate type of service, whether delivery is restricted, addresses, certification number, insured number, date postmarked, and signature.

Retention:

Agency: 3 years; destroy

358-0122 Purchase Orders/Requisitions D

Official copies of purchase orders/requisitions used by state agencies to authorize the purchase of supplies, equipment, and services. Included are Purchase Orders, Purchasing Requisitions, and related invoices. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

358-0123 Receipt Books D

Record of funds received directly from patrons and applicants in payment of such expenses as billable services for patrons, licensing fees, examination charges, and other fees for which the agency receives payment. Information includes receipt date, receipt number, receipt of, amount of payment, and account name and/or account number.

Retention:

Agency: 3 years; destroy

358-0124 Reconciliations D

Used monthly to reconcile an agency's record of internal accounting balances with recorded accounting balances from the Comptroller General's Office and the State Treasurer's Office. Information includes cash, expenditure and revenue account balances by mini code, subfund and/or object code; Statewide Accounting and Reporting System data; cash, investment and debt account balances at the State Treasurer's Office, if applicable; an explanation of exceptions or discrepancies; and related information.

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0125 Schedule of Federal Financial Assistance D

Used annually to report the federal financial activity of a state agency to the State Auditor's Office. The State Auditor's Office uses this information to prepare the Statewide Schedule of Expenditure of Federal Awards. Information includes title of federal program or grant, project and phase code, grant number, starting fund balance, receipts, expenditures, other additions, other deductions and ending balance.

Retention:

Agency: 3 years; destroy

358-0126 Small and Minority Business Reporting File D

Reports prepared quarterly by an agency and used to ensure that businesses owned and operated by minorities are afforded the opportunity to fully participate in the overall procurement process of the state. Information includes Budget Expenditure-Construction/Renovation Information Forms and Procurement Information Forms.

Retention:

Agency: 5 years after becoming inactive; destroy

358-0127 Sole Source Procurement File D

Used to document procurements made when there is only one source for the required supply, service or construction item. This file contains Justification for Sole Source Procurement, Record of Sole Source Contracts, and Quarterly Reports of procurement actions. Information includes type of procurement, the basis for sole source determination, the reason no other vendor is suitable, date, name of governmental body, authorized signature and title. Also included is the purchase order number, item description, commodity code, dollar amount, each contractor's name, the amount and type of each contract, and a listing of supplies, services, or construction procured under each contract. Copies of quarterly reports concerning procurement actions are scheduled to be retained for five years by the State Budget and Control Board's chief procurement officers.

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0128 **State of South Carolina Comprehensive Annual
Financial Report** D

Agency copies of published reports generated by the Comptroller General's Office and used to provide a comprehensive analysis of the financial activities and fiscal status of state government during the reporting period (fiscal year). Information contained in the report includes an introductory section, general purpose financial statements (overview), and a section titled Combining Financial Statements which includes information on special revenue funds, internal service funds, and fiduciary funds. Also included in the report is a statistical section which contains information concerning state expenditures, revenues, income and sales tax rates, demographic statistics, and net general obligation bonds and notes per capita. The report is generated annually for the fiscal year according to generally accepted accounting principles and distributed by the Comptroller General's Office. Copies of this series are scheduled to be retained permanently by the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

358-0129 **Statewide Accounting and Reporting System (STARS)
Financial Reports** D

Generated by the Comptroller General's Office to record the STARS financial transactions of the agency. Examples of the reports include Appropriation Balances, General Fund Control and Cash Status Report, Agency Transaction Register, Appropriation Transaction Detail, Analysis of Expenditures by Minor Object (Program Level and Agency Wide), Summary of Expenditures (By Program and By Fund) and other related reports. Information in this series may be generated daily, weekly, monthly, and annually. Portions of this record series are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: Daily & weekly reports: 1 month; destroy.
Monthly & annual reports: 3 years; destroy.

358-0130 **Surplus Property Disposal Reports** D

Filed by an agency with the State Budget and Control Board, Division of General Services, Materials Management Office, regarding surplus property. Information includes date acquired, cost, property category, description, manufacturer's identification number, and agency identification number.

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0131 Trade-In Document File D

Used to document trade-in sale transactions which reflect property that is traded-in as partial or full payment for an agency purchase. This file contains Request for Trade-In Document and Record of Trade-In Sales. Information includes agency's name, address, requestor's name, location of property, agency contact person for viewing property, indication whether trade-in is being applied to sole source and new purchase. Also included are commodity code, description, purchase date, make, model-serial number, trade-in value, net cost, new item, purchase order number and related information.

Retention:

Agency: 3 years; destroy

358-0132 Transmittal Control Sheet D

Prepared by agency to serve as a cover sheet for batches of documents sent to the Comptroller General's Office for processing. Information includes agency name and number, date, batch number, batch amount, batch type, payee names, and total value.

Retention:

Agency: 3 years; destroy

358-0133 Travel Vouchers D

Vouchers prepared by an agency to claim reimbursement for employee travel expenses. Information includes name, address, social security number, agency and amount to be reimbursed. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

358-0134 Vehicle Files D

Document purchase, ownership, insurance, and maintenance of all vehicles of an agency. Information includes purchase requisitions, purchase orders, vehicle specifications, bid requests, and other documents.

Retention:

Agency: 3 years after disposition of vehicle; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Accounting

358-0135 **Vehicle Trip Logs** D

Logs completed by agencies to monitor mileage traveled in state vehicles. Information includes agency name, driver name, beginning and ending odometer readings, and comments concerning problems with vehicle.

Retention:

Agency: 3 years; destroy

358-0136 **Vendor Code Requests** D

Forms prepared by an agency to request a vendor code from the State Budget and Control Board, Division of General Services, when the agency wants to purchase goods or services from a vendor not presently listed in the state purchasing system. Information includes vendor name, address, and new number (assigned by the Division of General Services, State Procurement).

Retention:

Agency: Until superseded, updated, or no longer needed for reference; destroy

358-0137 **Vendor/Commodity Code Listing Books** D

Books concerning master code listings of vendors and commodities, listed in the state purchasing system. Information includes vendor name, address, and code number. The commodity book lists commodity description, unit of measurement, and code number.

Retention:

Agency: 3 years; destroy

358-0138 **Warranties and Service Agreements** D

Document service and maintenance costs on agency equipment. Information includes equipment service contract, records of service performed on equipment, costs, and related correspondence and memoranda.

Retention:

Agency: 3 years after termination of agreement; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Payroll

358-0139 **Electronic Funds Transfer Authorizations** D

Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit. Information includes employee name, name of financial institution; copy of deposit slip and other related information.

Retention:

Agency: 3 years; destroy

358-0140 **Employer Contribution Reports** D

Created by the South Carolina Employment Security Commission and used to verify earnings of the agency's employees. Information includes name and address of the employer, number of persons employed during the quarter, how remittance is paid, number of places of business in South Carolina covered by the report and signature, title, date of individual filling out the report, and other documents concerning taxable and non-taxable wages of employees. Copies of this series are retained in the Employment Security Commission, as scheduled.

Retention:

Agency: 3 years; destroy

358-0141 **Health Dental and Optional Life Insurance Reports** D

Generated by the State Budget and Control Board, Division of Insurance Services, to reconcile the monthly health, dental, and optional life insurance bills of the agency. Information includes agency name, address, group identification number, billing period, subscriber count, premium amount (employer/employee shares), source of funds, premium due, and other related information. Copies of this series are retained in the State Budget and Control Board, Division of Insurance Services, as scheduled.

Retention:

Agency: 3 years; destroy

358-0142 **Payroll Adjustment Forms** D

Forms authorize the agency to deduct money from employee wages. Information includes name, social security number, amount, description of deduction, payroll period beginning date, and other related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years after termination of employment or cancellation of the authorization; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Payroll

358-0143 **Payroll Check Register** D

Generated by the State Treasurer's Office, and used to record the agency's payroll disbursements. Information includes employee name, social security number, agency number, check number, and other related information. Copies of this series are retained in the State Treasurer's Office, as scheduled.

Retention:

Agency: 3 years; destroy

358-0144 **Payroll Deductions** D

Deduction records generated by the Comptroller General's Office and used by a state agency to reference types and amounts of deductions from paychecks. Information includes agency name, employee name, type of deduction, amount, and other related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

358-0145 **Payroll List by Section** D

Payroll list for referencing each agency section. Information includes section, employee name, gross pay, and other related information.

Retention:

Agency: 3 years; destroy

358-0146 **Payroll Register (Regular)** D

Generated by the Comptroller General's Office and used by a state agency to reference year-to-date pay and deductions from paychecks. Information includes employee name, social security number, gross pay, tax deductions, FICA, retirement, insurance, net pay, other deductions, and related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Payroll

358-0147 Payroll Vouchers D

Used to verify the payroll and request payment to the Comptroller General for salaries of agency employees. Information includes name of agency, agency number, pay period, mini code, sub fund code, project code, object code, name and social security number, gross pay, perquisite, initials, multi-purpose code, gross payroll amount, signature and title of approving authority. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

358-0148 Payroll Warrant Registers D

Generated by the Comptroller General's Office and used by state agencies to document payroll disbursements. Information includes warrant number, mini code, object code, employee name, social security number, gross pay, tax deductions, FICA, retirement, insurance, net pay, and other related information. Record copies of this series are scheduled to be retained permanently by the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

358-0149 Projected Payroll Biweekly Totals by Accounting System D
Breakdown

Used to project biweekly totals of the payroll for the agency. Information includes pay period dates, agency code number, mini code, sub fund, object code, and total amount of projected payroll expenditure from the account, and other related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

358-0150 Social Security Reports (Unified Wage Reporting Plan D
by Unit)

Used to record social security information on employees. Information includes name, social security number, year-to-date taxable and nontaxable income, FICA, federal and state income taxes. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Financial Services/Payroll

358-0151 **Standard Retirement System Quarterly and Monthly Reports** D

Received from the State Budget and Control Board, Division of Retirement Systems, indicating employee retirement contributions. Information includes employer, employee, social security number, active member register number, non-member number, contributions, service credit, and other related information. Copies of this series are retained in the State Budget and Control Board, Division of Retirement Systems, as scheduled.

Retention:

Agency: 3 years; destroy

358-0152 **Workers' Compensation Insurance Files** D

Used to document the payment of workers' compensation insurance premiums. Information includes an interdepartmental transfer for payment of premiums; a form to the State Workers' Compensation Fund reflecting the total amount due and payment due date with attached memos; and a Workers' Compensation Insurance Quarterly Report reflecting the code, agency, source of funds, total salaries for the quarter, amount of payment due, totals, certified correct and authorizing signatures.

Retention:

Agency: 3 years; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Human Resources

358-0214 **Personnel Policies and Procedures** A

Policies and procedures issued by the agency or the State Budget and Control Board's Office of Human Resources. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, termination procedure, workmen's compensation plan, and other procedures issued by an agency and/or the Office of Human Resources. Portions of this series are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Human Resources.

Retention:

Agency: Until no longer needed for reference

State Archives: Selection of needed documentation; PERMANENT

358-0200 **Affirmative Action Plans and Progress Reports** D

Affirmative Action Plans prepared by state agencies and Progress Reports used by the State Human Affairs Commission to monitor the implementation of these plans. Affirmative Action Plans reflect an agency's projected policies, procedures, and practices to achieve the goal of a non-discriminatory employment system. Also included are statistics, analysis of the current and projected work force composition by race, sex, and comments. The semi-annual Progress Reports consist of updated employment data analysis by race and sex, a summary of personnel actions which reflect a breakdown of agency positions by race, sex, analysis, and comments. Also included is correspondence concerning the Affirmative Action Plans and their implementation. Portions of this series are scheduled for permanent retention by the State Archives through the State Human Affairs Commission.

Retention:

Agency: 3 years; destroy

358-0201 **Employer Status Reports (Unemployment Compensation)** D

Reports from an individual agency to the Employment Security Commission which are used by the Employment Security Commission to determine the liability or non-liability of agency for payment of unemployment compensation. Information includes the Employer Status Report, Notice of Liability sent to the agency from the Employment Security Commission, Notice of Contribution for the next calendar year, and related memoranda and correspondence concerning changes in agency unemployment compensation accounts and liability. The record copy of this series is scheduled by the State Archives through the Employment Security Commission.

Retention:

Agency: 6 years destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Human Resources

358-0202 **Employment Applications (Not Hired)** D

Completed employment applications and personal resumes of applicants who were not hired by agency. Information includes applicant's name, address, Social Security Number, position applied for, educational background, work experience, and other related information.

Retention:

Agency: 2 years from the date of rejection or making of the record; destroy

358-0203 **Employment Data Analysis by Sex and Race** D

A statistical breakdown of information concerning state employees by type, number, salary, and percentages of minority personnel. Information includes type of employees such as officials/administrators, professionals, technicians, office/clerical, service, maintenance, racial classifications, total work force, and work force summary.

Retention:

Agency: 2 years from the date of rejection or making of the record; destroy

358-0204 **Equal Employment Opportunity Report** D

Documents the job classification and compensation of all agency personnel. Information includes class code, slot, name, Social Security Number, employee number, pay rate, state/federal funding, race and sex.

Retention:

Agency: 2 years from the date of the personnel action involved or the making of the record; destroy

358-0205 **Equal Employment Opportunity Reporting and
Personnel Research Forms** D

Forms completed by applicants for state employment as part of their employment application. Information includes statistics on job applicants which are reported annually to the State Human Affairs Commission. The form, which is detached from the employment application, lists the applicant's name, date, Social Security Number, date of birth, position applied for, race, sex, and marital status.

Retention:

Agency: 2 years from the date of the personnel action involved or the making of the record; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Human Resources

358-0206 Grievance Files D

Document grievance proceedings initiated by state employees. Information includes copies of each grievant's original grievance filing, copies of the decisions rendered at each level of the grievance procedure, copies of the grievance and appeal procedures for the agency and for all state employees, and copies of the final decision rendered by the State Employee's Grievance Committee. Portions of this series are scheduled by the State Archives through the State Budget and Control Board's Office of Human Resources.

Retention:

Agency: 10 years after resolution of all grievance issues; destroy.

358-0207 Job Announcements (Vacancies) D

Announcements concerning job openings in state government. Information includes title of position, salary or grade range, description of job duties, closing date, and to whom applications should be directed.

Retention:

Agency: 2 years after position is filled or announcement is superseded or updated; destroy

358-0208 Job Classifications D

A listing of all job positions classified by the Office of Human Resources. Information includes position qualifications, pay grades, and duties for positions in state service. The record copy of this series is scheduled by the State Archives through the State Budget and Control Board's Office of Human Resources.

Retention:

Agency: Until termination of position; destroy

358-0209 Leave Records D

Record of the amount of leave earned and taken by agency employees. Information includes employee's name, type of leave (annual, sick, other), service date, Social Security Number, amount of leave earned and charged, and leave balances for the period covered.

Retention:

Agency: 3 years; destroy

Human Resources

Retention:

Agency: 3 years; destroy

Record of work related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee's name, occupation, department, description of injury or illness, fatalities, non-fatal injuries with lost workdays, injuries without lost workdays, and other related information.

Retention:

Agency: 5 years following the end of the calendar year to which they relate; destroy

File concerns administration of personnel policy. Information includes correspondence, reports, memoranda, and other records regarding personnel procedures.

Retention:

Agency: Until superseded, updated, or no longer needed for reference; destroy

Personnel files of current and former employees of the agency. Information includes employment applications, letters of recommendation, employee awards, resumes, performance appraisals, leave records, Employee Profile, Comptroller General's Payroll Advice, position descriptions, insurance information, dual employment information, resignation and termination records, correspondence, and other related information.

Retention:

Agency: 15 years after termination of employment; destroy.

Medical Malpractice Patients' Compensation Fund Record Schedule

Human Resources

358-0215 **Statewide Personnel Information and Reporting System Files** D

Used to monitor employment, salary adjustment, performance reviews, terminations, and other personnel activity. Reports include: Alphabetical Listing of Employees Sequenced by Agency, Employee Name; Employee Roster Sequenced by Grade, Class Code, and Name; Temporary Employment Roster; Gross Salary Change Report; Termination Analysis, Performance Review Summary Report; Report on Salary Change Code-Merit Increase; Reviews Report-Classified Positions-Review Sequence; Vacancies Report-All Positions; and other related records.

Retention:

Agency: Until superseded or updated; destroy

358-0216 **Time and Attendance Records** D

Records concerning time worked by agency employees during a pay period. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

Retention:

Agency: 3 years; destroy

358-0217 **Vacancies File** D

Documents position vacancies in agency. Information includes agency name, grade, classification title, salary range, hours worked per week, and pay rate of position.

Retention:

Agency: Until superseded or updated; destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Information Systems and Technology

358-0250 **Automated Program Listing/Source Code** D

Program code which generates the machine language instructions used to operate an automated system, either paper or electronic.

Retention:

Agency: Until no longer needed for reference; delete or destroy

358-0251 **Computer Run and Scheduling Requests** D

Used to schedule computer runs. Information includes daily schedules, run reports, run requests, and other records documenting the successful completion of a run.

Retention:

Agency: Until no longer needed for reference; delete or destroy

358-0252 **Computer System Test Files** D

Created solely to test system or program performance, as well as related printouts and documentation.

Retention:

Agency: After user approves test results and until no longer needed for reference; delete or destroy

358-0253 **Computer Usage Files** D

Used to monitor computer system usage. Information includes electronic files or automated logs, log-in files, system usage files, data entry logs, summary computer usage reports, audit trail files, valid transaction files, and records of individual and network computer program usage.

Retention:

Agency: Until no longer needed for reference; delete or destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Information Systems and Technology

358-0254 **Data Processing Hardware Documentation** D

Documents the use, operation, and maintenance of an agency's data processing equipment. Information includes operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.

Retention:

Agency: Until no longer needed for reference or until hardware is disposed of; delete or destroy

358-0255 **Data Processing Subject Files** D

Used to support the administration of agency data processing services. Information includes correspondence, memoranda, reports, and reference publications.

Retention:

Agency: Until superseded or no longer needed for reference; delete or destroy

358-0256 **Data/Database Dictionary Reports** D

Periodic printouts from a data/database directory system. Information includes data element attribute reports, database scheme, and related records used for reference purposes.

Retention:

Agency: Until superseded or no longer used by agency; destroy

358-0257 **Disaster Preparedness and Recovery Plans** D

Documents the protection and reestablishment of data processing services and equipment in case of a disaster. Information includes procedures, checklists, and emergency phone numbers and addresses.

Retention:

Agency: Until superseded by revised plan; delete or destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Information Systems and Technology

358-0258 **Downloaded and Copied Data** D

Used to distribute data to individuals or program units for reference and use. Information includes downloaded, copied, merged and/or derived data not altered or augmented to support program-specific needs.

Retention:

Agency: Until no longer needed for reference; delete or destroy

358-0259 **Finding Aids (or Indexes)** D

Used to facilitate the search and/or retrieval of electronic information/records. Information includes indexes, lists, registers, and other finding aids.

Retention:

Agency: Until no longer needed for reference or when related records are destroyed, whichever is later; delete or destroy

358-0260 **Input/Source Documents** D

Used solely as input for a digital master file or database. Also used to create, update, or modify the records in an electronic medium and not required for audit and legal purposes. Information includes non-electronic documents and/or forms, uncalibrated and invalidated digital or analog data collected during observation or measurement activities or research and development programs.

Retention:

Agency: Until the information has been converted to an electronic medium, or when no longer needed to support the reconstruction of the master file, whichever is later; delete or destroy

358-0261 **Inventories of Circuits** D

Documents network circuits used by the agency. Information includes automated or paper records, circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.

Retention:

Agency: Until updated, superseded, or no longer needed for reference; delete or destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Information Systems and Technology

358-0262 **Network Site/Equipment Support Files** D

Used to document support services provided to specific sites and computer to computer interfaces on a network. Information includes site visit reports, trouble reports, service histories, and related correspondence.

Retention:

Agency: Until no longer needed for reference; delete or destroy

358-0263 **Print File** D

Used to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and reports. Information includes unaltered files extracted from a master file or database.

Retention:

Agency: Until no longer needed for reference; delete or destroy

358-0264 **Records of Chargebacks to Data Processing Services** D
 Users

Used to document and calculate costs, and bill program units for computer usage and data processing services. Information includes electronic and manual records. These records are also used for cost recovery, budgeting, or administrative purposes.

Retention:

Agency: 3 years after creation; delete or destroy

358-0265 **Security Backup File** D

Electronic file maintained to backup the master file or database in case the master file or database is damaged or inadvertently erased. Information consists of data identical in physical format to a master file or database.

Retention:

Agency: 3 database/master file backup cycles; delete or destroy

Medical Malpractice Patients' Compensation Fund Record Schedule

Information Systems and Technology

358-0266 **Summary or Extracted Data Files** D

Used to distribute data to individuals or program units for reference and use. Information consists of summary or aggregate data from a master file or database.

Retention:

Agency: Until no longer needed for reference; delete or destroy

358-0267 **System Documentation (Non-Permanent Systems)** D

Used to plan, develop, operate, and maintain electronic records and software. Information includes data systems specifications, file specifications, code books, records layouts, user guides, output specifications, system instructions, tutorials, reference guides, final reports, and other related documentation.

Retention:

Agency: Until superseded, updated, or no longer needed for reference; delete or destroy

358-0268 **System Users Access Records** D

Used by system administrators to control or monitor users' access. Information includes user account records, security logs, and password files.

Retention:

Agency: Until superseded, updated, or no longer needed for reference; delete or destroy

358-0269 **Technical Reformat File** D

Used to document information interchange of master files or databases. Information includes electronic files written with varying technical specification consisting of data copied from a master file or database.

Retention:

Agency: Until no longer needed for reference; delete or destroy

Requirements and Recommendations for Implementing the Records Retention Schedule

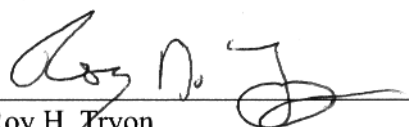
Under the *Code of Laws of South Carolina, 1976*, Section 30-1-90(D), “No records of long-term or enduring value created, including those filed, kept, or stored electronically, or those records converted from paper to magnetic, optical, film, or other media in the transaction of public business may be disposed of, destroyed, or erased without an approved records schedule.” Section 30-1-90(A) provides that agencies must assist the SCDAH in “establishing records schedules mandating a time period for the retention of each series of records.” Upon approval by the executive officer or appointed records officer of the agency and the SCDAH, the preceding list of agency records will constitute the official records retention schedule for the Medical Malpractice Patients’ Compensation Fund. This records retention schedule authorizes the legal disposition of the agency’s records as stipulated herein.

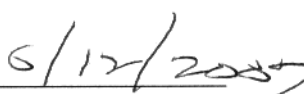
The Medical Malpractice Patients’ Compensation Fund should make every effort to establish and maintain a quality record-keeping program through the following activities:

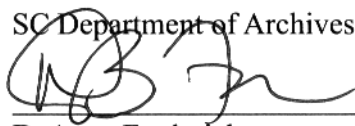
- In accordance with Section 30-1-20 of the *Code of Laws of South Carolina, 1976* as amended, the SCDAH recommends the agency continue to support the records officer in implementing the following duties:
 - Ensuring the development of quality record-keeping systems that meet the business and legal needs of the agency
 - Coordinating the transfer and destruction of records
 - Ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards
 - Ensuring the regular implementation of the agency’s approved records retention schedule
 - Working regularly with SCDAH staff to keep the records retention schedule current and to solve records management problems
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this records retention schedule, should occur agency-wide on a regular basis – for example, after the completion of an audit or at the end of a fiscal or calendar year.
- In accordance with Section 30-1-90 (D) of the *Code of Laws of South Carolina, 1976*, as amended, the agency must document and report to the South Carolina Department of Archives and History all records disposals that are carried out in accordance with this records retention schedule. Such documentation should be on forms approved by the SCDAH for that purpose.
- Before destroying any public records listed in this records retention schedule, the agency must ensure that the records have met all applicable federal and/or state audit, legal, litigation, fiscal, and other retention requirements.

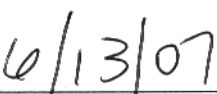
- The agency should maintain full documentation of any computerized record keeping system it employs. It should develop procedures for: (1) backing up all permanent and vital records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- In instances where the agency is maintaining copies of non-permanent records in both paper files and electronic formats, the agency should designate the electronic copy as the official copy for record keeping purposes and dispose of the paper files when no longer needed for reference.
- The agency should adopt and apply the *Electronic Records Management Guidelines* (<http://www.state.sc.us/scdah/erg/erg.htm>) including the *Trustworthy Information Systems Handbook* (<http://www.state.sc.us/scdah/erg/tis.htm>), developed by the SCDAH.
- The agency should work with SCDAH staff to develop procedures for capturing and preserving annual snapshots of the PCF website.
- The staff of the Department of Archives and History may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Archives and Records Management Division analysts and archivists are available to instruct the PCF staff in records retention schedule development and use and to otherwise assist the agency in implementing its records management program.

This records retention schedule was approved by:


 Roy H. Tryon
 State Archivist and Records Administrator
 SC Department of Archives and History


 Date


 DeAnna Frederick
 Records Officer
 SC Medical Malpractice Patients' Compensation Fund


 Date

Appendix

South Carolina Medical Malpractice Patients' Compensation Fund Records in the Custody of the South Carolina Department of Archives and History

S 358001

Minutes of the Board of Governors of the Medical Malpractice Patients' Companion Fund
1977-2005

S 358002

Committee minutes of the Medical Malpractice Patients' Compensation Fund
2005-2006

S 358003

Administrative reference and correspondence files
1976-1999